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ABSTRACT

This proposal for a new plan of governance is based on the assumption that to advance the educational aims of SMU, the 3 major constituencies -- students, faculty, and administrators -- must participate in the decision-making process. Part I of the report outlines the procedures and policies each of the University's schools must follow, and discusses the governance of the University College and the School of Continuing Education. Part II, III, and IV discuss the role and responsibilities in governance of, respectively, the administration, general faculty, and general student body. Part V outlines the areas where there is to be shared governance: the Planning and Priorities Cabinet, Advisory Board to the President; Advisory Board to the Provost; the University Assembly; the Advisory Board to the Dean of Students; the Judiciary; and the Publishing Board. Functions and membership of the Boards are discussed individually. Parts VI-X make recommendations on: consultation on the selection of the University President; the right and responsibility to speak by resolution; the provision for high visibility of decision making; consultation by the President; and interpretation of the governance plan and possible new functions. (AF)

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May 8, 1970

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The Governance of Southern Methodist University

Dallas, Texas

ED042409

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INTRODUCTION

In proposing a new plan of governance for SMU, we assume that the only valid test for any system of University Governance is the degree to which it advances the educational aims of the University, most recently set forth for SMU in the Master Plan of 1963. To advance these aims most effectively, all three major constituencies of the University -- students, faculty, and administrators -- must be involved in decision-making. Some decisions should be made by one constituency alone; others, perhaps most, should be made by the three constituencies acting together, but with sometimes one, sometimes another constituency having the major voice, depending on the area of decision-making involved. We further believe that engagement in decision-making is itself an educational process, and that participation by students in governance is justified partially by this consideration alone. We believe also that decision-making should be a visible process, and that decisions, once made, should be communicated rapidly throughout the community. We believe that effective decision-making must always put foremost the interests of the whole University,

not of one school or of one constituency at the expense of the rest. We believe that effective decision-making involves a process of long-range planning and development, rather than simple extemporization to meet the demands of the moment. Finally, we realize that any governance system, if it is not to be restrictive and stultifying, must be subject to change and renewal. The governance plan here proposed is substantially, though not radically, different from that now in operation. It undoubtedly contains flaws impossible for us to foresee, some of them uncorrectable by the process of constitutional amendment. We therefore propose that a thorough review of the whole Plan be made, at the discretion of the President, not earlier than three years nor later than five years from its adoption.

THE EXECUTIVE COMMITTEE OF THE GOVERNANCE STUDY

I. - GOVERNANCE OF SCHOOLS

A. Governance in (1) School of Humanities and Sciences, (2) Graduate School of Humanities and Sciences, (3) School of the Arts, (4) School of Business Administration, (5) Institute of Technology, (6) School of Law, (7) School of Theology:

Each School, acting through a shared governance structure which shall include dean, faculty, and students, shall prescribe, subject to the review of the Advisory Board to the Provost and to the approval of the Provost, the President, and the Board of Trustees:

1. Policies for recruitment of students;
2. Requirements for the admission of students;
3. A system of academic counseling;
4. Rules and methods for the conduct of the educational work of the school, both instructional and research;
5. Procedures for the evaluation of students, faculty, and administrators;
6. Courses and Study Programs to be offered;
7. The nature of degrees to be conferred;
8. Conditions of graduation;
9. Action on individual student petitions;
10. Candidates for degrees, and persons to be awarded fellowships, scholarships, and prizes within the school;

11. Procedures for faculty recruitment;

12. Policies for faculty promotion;

13. Policies for research and study-leave programs.

In addition, the faculty or the governing body of the School shall be consulted by the Dean on major budgetary policy.

During the school year 1970-1971, each School shall determine how a shared governance structure for carrying out the above functions shall be organized for that School. The following guidelines are to be used:

1) Each School shall prepare a written constitution and by-laws by which that School shall carry out the responsibilities assigned to it by the By-Laws of the University.

2) The committee charged to draft the constitution and by-laws for each School shall consist of elected faculty, elected students and the Dean, and other administrative officers appointed by the Dean. The committee shall consist, at a minimum, of at least 50% faculty and 20% students, elected by ballot.

3) Even if there are regular meetings of an academic council, provisions shall be made for the faculty to meet regularly, normally at least once each semester, and, in addition, provision shall be made for the faculty to meet on call of the Dean or upon petition of its members.

4) Students shall be significantly involved in the governing body of the School.

5) Each School, through its established governing body, shall determine the method of work of its component subdivisions, if any (departments, centers, etc).

6) Provisions shall be made by which faculty, students or staff may appeal the decisions of a dean or department chairman to the appropriate superior administrative officers, with or without the endorsement of the dean or department chairman.

7) Constitution and By-Laws shall be approved by a majority of the faculty of the school and forwarded to the provost for his review. After consultation with his advisory board, he may recommend to the president the adoption of the Constitution and By-Laws;

he may return the documents to the school from which they originated with the request that certain specific sections be modified, or he may return the entire document with the request that it be re-submitted in response to a bill of particulars which describe the areas deemed by him to be unacceptable.

The final document shall be approved by the Board of Trustees upon recommendation of the President. (See APPENDIX B, Target Calendar.)

B. Governance in University College:

The presently constituted University College Council shall function as the academic council for the University College except that its membership shall be increased by the addition of six student members with voting privileges, two from University College, and one each from H & S, Arts, Business, Technology, elected by the students of these schools. The actions of the University College Council shall be subject to the review of the Advisory Board to the Provost and to the approval of the Provost, the President, and the Board of Trustees. Also, the Council shall reconsider any of its actions upon written petition of 5% of the full-time University faculty or of 5% of full-time undergraduate students. Within the above stipulations the University College Council shall prepare a written constitution for itself, using as its basic materials the provisions concerning it laid down by the Master Plan of 1963 and its own past minutes. This Constitution and By-Laws shall be submitted to the Provost for review.

C. Governance in the School of Continuing Education:

For the School of Continuing Education an academic council shall be created composed of the Dean as chairman, eight faculty (one elected by each of the divisions of Humanities and Sciences, and one each by Arts, Business Administration, Law, Technology, and Theology), and the Provost or his delegate as ex officio member. Student members may be added at the discretion of the Council, or by request of 100 enrolled students. The terms of the faculty representatives shall be four years, staggered. The actions of the Council for the School of Continuing Education shall be subject to the review of the Advisory Board to the Provost and to the approval of the Provost, the President, and the Board of Trustees. Also, the Council shall reconsider any of its actions upon written petition of 5% of the full-time University faculty or of 5% of students enrolled in courses in the School. Within the above stipulations the first Council of the School of Continuing Education shall prepare a written constitution for itself, which shall be submitted to the Provost for review.

II. - THE ROLE OF ADMINISTRATION IN ACADEMIC GOVERNANCE

The University is a community of scholars, whose principal calling is the life of learning - study, teaching and critical inquiry. The proper and fruitful functioning of that community depends in large part upon the adequacy of the system by which it is governed and upon the understanding and support of that system by its members.

The governance of a university is unlike that of a corporation, the power of which resides in and is directed downward from a Board of Directors, or that of a democratic political entity, the power of which resides in and is directed upward from the electorate. The principal elements in the governance of the formal life of learning of a university are its trustees, its faculty, its students and its administrators. The primary function of the trustees is to assure the financial support of the university and, through elected administrators, to assure the proper management of the resources of the university. The faculty are charged with responsibility for the formulation and proper function of the formal educational program of the university. Academic administrators, as leaders of the faculty of the educational units they head, must participate as the leaders of the units in the formulation of the program of the unit. In order to preserve faculty and student time for the primary purpose of scholarship, the day-to-day administration of the program ought to be carried on by the administrational staff of the unit.

The governance of the formal life of learning, then, embraces some aspects of both the corporate and the political patterns described above. Its distinctive element lies at the point where the acknowledged leader of a faculty (be it department, school or university) becomes the appointed administrative officer for that unit. He is thus of the faculty but is elected by the Trustees and is accountable to the Trustees through the president.

Successful academic administration ought never to preempt the right and duty of the faculty as the agency for making academic policy and program. The administrator should be the leader of the faculty in helping to formulate policy and program. By the same token, faculty and students ought never to be cast in the role of administering by committee. The effective functioning of this pattern of governance can take place only where trustees, faculty, students and administration can operate in mutual respect and trust and in full comprehension of their inter-relationship and inter-dependence.

Any plan of governance must provide for periodic review of its members -- administration, faculty, and students -- and for an effective method of replacing those whose performance is marginal or substandard.

The Role of the Board of Trustees in Academic Administration

According to the By-Laws of the University, "The Management and directorship of all affairs and interests of the University shall be vested in the Board of Trustees." The Board normally operates through its executive committee, which is the Board of Governors. According to the By-Laws, "The Board of Governors shall exercise, in the interval between the meetings of the Board of Trustees, the powers of the Board of Trustees, the management and the business affairs of the University, except for such academic administrative affairs as have been delegated to the Committee on Instruction, and as to those matters, the Board of Governors shall act in an advisory capacity." While the Boards of Trustees and Governors do have the ultimate responsibility and authority for all activities of the University, they have empowered the Committee on Instruction of the Board of Trustees and the elected officers and the faculty of the University to deal with all matters of academic administration and to make academic policy decisions.

According to the By-Laws of the University, the Committee on Instruction shall consider all changes in the academic staff whether by election, promotion, or transfer, proposed by the President of

the University, and shall make recommendations to the Board of Trustees regarding the same, specifying the terms of their employment in accordance with the provisions of Section 2.33 - The Budget. It shall also be the duty of the Committee on Instruction to examine the system and courses of instruction, educational management, rules, discipline, and all other matters pertaining to the educational policies and problems of the University, and to report and make recommendations thereon to the Board of Trustees.

The president, provost, deans, and department chairmen are all administrators of the University. Their respective responsibilities are described below.

The Role of the President in Academic Administration

According to the By-Laws, "The President of the University shall be the chief executive officer of the University and shall represent the Board of Trustees in dealings with the faculty and students." He is elected for a term of one year and, while he is nominally the head of the entire educational enterprise of the University, he normally operates by delegating much of his authority and responsibility to those officers who are in line academic authority in the University. They are the provost, deans, and department chairmen. The president is responsible ultimately for the proper function of the entire University and particularly for the educational enterprise that is the University's reason for being. Actions taken by subordinate academic administrative officers are reported to the Board of Trustees through the president, and all recommendations from these officers are conveyed by the president to the Board. Specifically, such recommendations include those for the nomination of all officers and all faculty members for election by the Board, and for all promotions in the instructional staff.

The Role of the Provost in Academic Administration

The provost is the chief academic officer of the university. He is responsible for the effective coordination of all of the academic programs of the university and is a member of and spokesman for the faculty of the university. He is also elected by the Trustees and is accountable to the Trustees through the president. His nomination and election, which is for a term of one year, are contingent upon consultation by the president with the Advisory Board to the Provost,[1] with the Council of Deans and with other faculty members, students, and administrators as appropriate to insure that he is effective in the office.

The provost is responsible for the proper functioning and coordination of the programs of the several schools of the university and of the various offices and agencies that support the academic enterprise. These include, specifically, the University Libraries, Research Services and Coordinated Academic Services (Office of Recruiting, Office of Admissions, Office of the Registrar, Office of Scholarships, Office of Academic Research). In addition to the University College and the Schools of Undergraduate Humanities and Sciences, Graduate Humanities and Sciences, Arts, Business Administration, Technology, Law, Theology

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(1) The Advisory Board to the Provost established later; see pages 19, 27

and Continuing Education, he is responsible for centers which cross school lines, such as the Center for Ibero-American Studies, Institute for Urban Studies, Center for Afro-American Studies, and Teacher Education Program.

The provost is the officer to whom the deans of the several schools, the directors of the various programs, Libraries, and Coordinated Academic Services report. In this capacity, he has the responsibility not only for student recruitment but for faculty recruitment and promotion and for faculty research and study-leave programs. In addition, he has the responsibility to give leadership to the preparation of guidelines for all proposals for new organizational units and degree programs to insure proper review of such proposals, and also of proposals to delete programs and to insure periodic review of all academic programs. An important aspect of this procedure is the responsibility to coordinate the academic programs between the several schools so as to insure the optimum use of both human and fiscal resources.

Finally, and most important, it is the role of the provost to coordinate the academic planning of the several schools and of those programs that cut across school lines. Coordinated Planning at this level is essential to planning for the entire university. The Provost should thus make regular reports to the Planning and Priorities Cabinet[1]

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(1) The Planning and Priorities Cabinet established later; see page 26

relating to matters of academic planning.

So that he may most effectively discharge the responsibilities assigned to him, the provost should have an Advisory Board that is representative of faculty, students and administration which will meet with him at regular intervals (no less than once a month) throughout the academic year for purposes of advising him on decisions that he must make relating to all of the above matters.

The Role of the Dean in Academic Administration

The dean of a school is the educational leader and spokesman for the faculty of that school and, as such, participates in the deliberations of the faculty in all academic matters. He is charged with the administration of the assets of that educational unit which he heads, and is accountable to the provost and, through him, to the president and the Board of Trustees for responsible administration of the unit. The dean is both the administrative officer for the school and the educational leader of it. In order to provide due faculty voice so that the dean is <u>of</u> the faculty and in order to provide a determination of responsible administration from the Trustees, the President and the Provost shall at intervals no greater than every four years consult with the faculty and students of the School regarding the effectiveness of the dean.

Under the leadership of the dean, each school has the responsibility for determining (1) policies for the recruitment of faculty and students, (2) requirements for the admission of students, (3) procedures for the evaluation of students, faculty, and administrators, (4) the curriculum of the school, (5) the nature of degrees to be conferred, and (6) requirements for graduation.

In addition, the faculty of each school (of which the dean is a member) is responsible for establishing a system of academic counseling, for acting on individual student petitions, for recommending candidates for degrees and persons to be awarded fellowships, scholarships, and prizes within the school.

The policies and decisions which have been determined by the school will be implemented by the dean. In addition, the dean is responsible for carrying out policy established by the faculty on matters of faculty recruitment, promotion, and tenure, and the dean should consult [1] with the governing body of the school on matters of major budgetary policy.

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[1] In this context, "consult" is understood to mean the sharing of views, and of relevant information upon which to base those views.

The Role of the Department Chairman* in Academic Administration

The chairman is the educational leader of and spokesman for the faculty of the department and, as such, fully participates in the deliberations of the faculty of the department in all academic matters. He is charged with the administration of the assets of that department which he heads, and is accountable to the dean, and through him to the provost, president, and Board of Trustees. The chairman is both the administrative officer for the department and the educational leader of it. The department chairman is appointed by the dean with the concurrence of the provost. His appointment is made after consultation with appropriate faculty and students of the educational unit, and is normally for a term of four years.

* And others who have administrative responsibility within a school, such as Center Directors, Heads of Study Areas, etc.

Recommendations

1. That, under the office of the president, the provost, the deans, and department chairmen be recognized as the duly constituted academic administrative officers of, respectively, the university, the school, the department.

2. That the deans are appointed by the president with ratification by the Board of Trustees. They are appointed after consultation with the governing bodies of the educational units they head and will continue to serve at the discretion of the president.

3. That the department chairmen are appointed by the dean with the concurrence of the provost. They are appointed after consultation with the faculty of the departments they head and are normally appointed for a term of four years.

4. That the provost, deans, and department chairmen be the educational leaders of their respective academic units and, as such, be expected to provide creative leadership in the formulation of the programs and policies of the unit.

5. That an Advisory Board to the Provost be formed and that it be an elective body consisting of eight faculty members and four students who will meet with the provost and the associate provost.

6. That a procedure be established for periodic review of the performance of every administrative officer so as to insure the effective functioning of the unit he heads, and to provide a means of replacing him is such action is indicated.

7. That a procedure be established for appealing the action of any administrative officer to his immediate superior.

III. - THE ROLE AND RESPONSIBILITIES OF THE GENERAL FACULTY

There are areas of university life which are recognized as being the primary concern and responsibility of the General Faculty. These responsibilities are understood to be apart from but supportive of their role as faculty members of the separate Schools. The General Faculty is responsible for the following areas, through its elected body:

1) Give leadership to achieve and maintain a high quality of intellectual life for the University.

2) Promote and defend the maximum use of academic freedom.

3) Nominate persons to receive honorary degrees.

4) Provide regulations governing professional behavior of members of the University faculties, and make recommendations to the appropriate faculty member and/or administrative officers in instances where professional ethics are involved.

5) Recommend criteria for the granting of tenure and investigate alleged infractions of the conditions of tenure of a faculty member and make recommendations related thereto to the President and the Board of Trustees.

6) Give leadership to the Professional Educators' concerns, such as faculty salaries, benefits and retirement.

7) Submit to the President nominations for the office of Director of Athletics and for positions on the coaching and office staff, recommend the approval of the budget of the Athletic Department, enforce regulations

against recruiting and subsidizing athletes, control the eligibility of all participants in athletics, and scheduling of games, and all other matters embraced within the rules of the Southwest Conference.

> NOTE: This function should remain one of the elected faculty body in view of the Southwest Athletic Conference's constitution regulation which stipulates terms of membership as follows:
>
> "Article 3, Section, Membership in the Conference is limited to institutions in the southwest which have recognized collegiate standing, and in which there is complete faculty control of intercollegiate athletics, which shall include: (a) Responsibility delegated to the faculty by the Board of Trustees of the institution concerned for the proper conduct of intercollegiate athletics in that school; ...."
>
> This arrangement is necessary in order to satisfy the terms of the Southwest Conference by assuring that there are a majority of faculty on the committee and that the parent body of the committee is a faculty body. Significant presence of students on the committee is also assured.
>
> The Athletic Committee shall consist of 7 faculty (which may include faculty holding administrative appointments) and 3 students appointed by the elected student body. The Committee, because of its unusually heavy work load, should have an Executive Committee consisting of the chairman, vice chairman and secretary.

8) Represent the General Faculty in all undertakings that involve joint action with groups outside the University and that affect more than one School of the University.

9) Publish the Faculty Handbook.

10) Administer elections for all faculty positions on University governing bodies.

11) Appoint faculty representatives on the Board of Trustee Committees.

12) Receive timely information on the tentative annual budget of the University.

Upon approval of the Board of Trustees of this Governance Plan, the present Faculty Senate shall supervise the transition to the new elected faculty body and recommend procedures in the light of their experience. The new elected faculty body shall include the faculty members elected to the PLANNING AND PRIORITIES CABINET, the ADVISORY BOARD TO THE PROVOST, the UNIVERSITY ASSEMBLY, and the ADVISORY BOARD TO THE DEAN OF STUDENTS.[1] Additional faculty members may be added to the new elected faculty body if deemed necessary by the present Faculty Senate or the new body. The new elected faculty body shall select its own name.

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(1) Manner of election for each of these bodies is described under each body:

Planning and Priorities Cabinet, page 26

Advisory Board to the Provost, page 27

University Assembly, page 29

Advisory Board to Dean of Students, page 35

IV. - THE ROLE AND RESPONSIBILITIES OF THE GENERAL STUDENT BODY

There are areas of university life which are recognized as being the primary concern and responsibility of the students. The general student body is responsible for the following areas, through its elected body:

1) Give leadership to achieve and maintain a high quality of university life.

2) Give leadership to the concerns of students.

3) Represent the general student body in all undertakings that involve joint action of students with groups outside the University and that affect more than one School of the University.

4) Administer elections for all student positions on governing bodies of the University.

5) Allocate that portion of the Student Activity Fee which the University Assembly[1] assigns for student groups.

6) Have appointive powers for student representation on ad hoc groups.

7) Publish the Student Handbook.

8) Appoint student representatives on Board of Trustee Committees.

9) Receive timely information on the tentative annual budget of the University.

Upon approval of the Board of Trustees of this Governance Plan, the present Student Senate shall supervise the transition to the new elected student body and recommend procedures in the light of their experience. The new elected student body shall include the student members elected to the PLANNING AND PRIORITIES CABINET, the ADVISORY BOARD TO THE PROVOST, the UNIVERSITY ASSEMBLY, and the ADVISORY BOARD TO THE DEAN OF STUDENTS.[2]

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(1) The University Assembly, page 29

(2) Manner of election for each of these bodies is described under each body:
Planning and Priorities Cabinet, page 26
Advisory Board to the Provost, page 27
University Assembly, page 29
Advisory Board to Dean of Students, page 35

Additional students may be added to the new elected student body if deemed necessary by the present Student Senate or the new body. The new elected student body shall select its own name.

V. - THE SHARING OF GOVERNANCE IN APPROPRIATE AREAS

There are areas of University life which are appropriate for varying degrees of shared governance. In addition to the proposed sharing of the governance of the separate Schools, the extent and manner of such sharing to be determined by each School, [1] we propose degrees of shared governance in:

A. The PLANNING AND PRIORITIES CABINET, Advisory to the President.

B. The ADVISORY BOARD to the Provost.

C. The UNIVERSITY ASSEMBLY.

D. The ADVISORY BOARD to the Dean of Students.

E. THE JUDICIARY.

F. THE PUBLISHING BOARD.

No faculty or student shall serve on more than one of the above bodies.

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(1) Page 3 ff, Governance of Schools

A. THE PLANNING AND PRIORITIES CABINET, Advisory to the President

Functions:

1. Establish a process by which priorities of the University are selected; recommend priorities to the President.
2. Establish a process by which planning for the future of the University is carried out. (It is recommended that the present functions of the Campus Planning Commission be subsumed under this PLANNING AND PRIORITIES CABINET.)
3. Advise the President about any policy made by any group which, in the judgment of this CABINET, by-passes or violates an established priority of the University.
4. Consult with the President or his designate on the total University budget.

Membership:

The Vice Presidents and the Dean of Students.

4 faculty members elected at large by the General Faculty for terms of 3 years, staggered.

1 Academic Dean, elected by the Council of Deans, annually.

2 students, Juniors or above, elected at large by the Student Body, for one year.

This CABINET is advisory to the President; it is free to consult with any person or representatives from groups or specialized areas of the University. The CABINET shall meet with the President or his designate regularly and on call. It shall determine its own manner of work, and elect its own chairman.

B. ADVISORY BOARD TO THE PROVOST

Function:

To counsel and advise the Provost as he carries out the responsibilities of his office; to consult with the Provost on the instructional budget.

"The provost is responsible for the proper function and coordination of the programs of the several schools of the University and of the various offices and agencies that support the academic enterprise. These include, specifically, the University Libraries, Research Services and Coordinated Academic Services (Office of Recruiting, Office of Admissions, Office of the Registrar, Office of Scholarships, Office of Academic Institutional Research). In addition to the University College and the Schools of Undergraduate Humanities and Sciences, Graduate Humanities and Sciences, the Arts, Business Administration, Technology, Law, Theology and Continuing Education, the following Centers which cross school lines, such as: Ibero-American Studies, Institute for Urban Studies, Afro-American Studies and Teacher Education Program.

"The Provost is the officer to whom the deans of the several schools, the directors of the various programs, Libraries and Coordinated Academic Services report. In this capacity, he has the responsibility not only for student recruitment but for faculty recruitment and promotion and for faculty research and study leave programs. In addition, he has the responsibility to give leadership to the preparation of guidelines for all proposals for new organizational units and degree programs, to insure proper review of such proposals and also proposals to delete programs; to insure periodic review of all academic programs. An important aspect of this procedure is the responsibility to coordinate the academic programs between the several schools so as to insure the optimum use of both human and fiscal resources.

"Finally, and perhaps most important, is the essential role of the provost in coordinating the academic planning of the several schools. This should be the basic ingredient for institutional planning for the entire university and will be provided by regular reports to the University Planning Cabinet." (1)

Membership:

8 faculty members elected by the Schools of the University, (3 from H & S and one each from Arts, Business, Technology, Law and Theology), for three-year terms, staggered.

4 students elected at large, for one-year terms.

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(1) Section II, the Role of Administration in Academic Governance, page 9

Operational Procedure:

The ADVISORY BOARD to the Provost shall meet at least monthly with the Provost and/or the Associate Provost, and other appropriate persons as designated by the Provost. It shall determine its own manner of work, and elect its own chairman.

C. THE UNIVERSITY ASSEMBLY

1. Membership: The membership shall be composed of an equal number of faculty and students, plus administrators not to exceed 15% of the total membership. In the future, the over-all size of the ASSEMBLY may be adjusted by vote of the ASSEMBLY subject to the approval of the President, as long as the proportion remains the same. Initially, we recommend 18 faculty, 18 students and 5 administrators. Faculty members shall be elected as follows:

2 each from Arts, Business, Engineering, Law, Theology

6 from H & S (2 from each Division)

2 at large

Students shall be elected as follows:

1 each from Law and Theology

2 each from Arts, Business, Engineering

3 from University College

6 from H & S and/or Graduate H & S

1 at large, who shall be the President of the Student Body, and serve as vice chairman of the University Assembly

The Administrative members shall be the following:

The President or his designate

The Provost or his designate

The Dean of Students or his designate

2 additional administrators appointed by the President

Faculty members shall serve for 2-year staggered terms. Students shall be elected for a one-year term. Administrators shall be appointed annually.

2. Officers: The Chairman shall be a faculty member elected by the Assembly from its membership. The vice chairman shall be the elected President of the Student Body. A secretary shall be elected by the Assembly. Officers shall serve a one-year term.

3. Functions: The ASSEMBLY shall be given responsibility to establish policy or act in an advisory capacity in appropriate areas, subject to the President's veto. The functions of the ASSEMBLY shall include those areas of University life considered to be appropriate for varying degrees of shared governance, most of which have already been shared to some degree in the past:

F U N C T I O N S:

(1) Establish policies for Student Center space and use.

(2) Consult with the proper administrators and other governance bodies regarding the development, upkeep and utilization of the University's physical facilities to meet the needs of the Schools of the University.

(3) Propose policies for the University Libraries, in consultation with appropriate academic officials.

(4) Establish standards for the recognition and conduct of University groups.

(5) Establish standards for individual conduct.

(6) Recommend the Student Activity Fee.

(7) Plan University Convocations in the interest of the total University community; this involves planning and making all arrangements for an annual program of EVENTS which speak to the issues of the day and the University's distinct concerns.

(8) Establish a program of information services for the interior life of the University in order that there be high visibility of the actions of the governing bodies of the University. Consult with the Office of University Relations on the University's relationship to its various publics.

(9) Establish criteria for the awarding of scholarships, loans and other University financial aid to students.

(10) Establish policies for appropriate safety, security, and traffic provisions for the campus.

(11) Plan for the orientation of new students, in cooperation with the appropriate academic officials.

(12) Consult with the President in the annual review of the budget.

(13) Confer with the President on Administrative appointments affecting more than one School.

4. Operational Procedures: The ASSEMBLY shall meet not less than monthly during the fall and spring terms. The meetings shall be open to all who may wish to come, subject only to the capacity of the room. The ASSEMBLY shall be provided the services of an executive assistant assigned to the ASSEMBLY by the President, and also the services of a full-time secretary. The ASSEMBLY's office shall keep records of the activities of the ASSEMBLY and its committees. These records shall be open and easily available. Records of executive sessions are to be clearly identified as such.

5. Committees of the ASSEMBLY: It is recognized that experience may indicate future changes in the standing committees of the ASSEMBLY. It is recommended, therefore, that initially the following standing committees listed below be established. The operational relationship between the standing committees and the ASSEMBLY shall be determined by the ASSEMBLY. Each standing committee shall have as a member at least one Assemblyman, but an Assemblyman need not chair the standing committee of which he is a member. All students and faculty members of standing committees shall be elected by the Assembly. The administrative members shall be appointed by the President. The chairman of each standing committee shall be elected by the Assembly from the committee members, and shall vote only in case of a tie. Nominations shall be made by the Executive Committee of the Assembly and from the floor. The term of office for committeemen is one year. Individuals may be re-elected or re-appointed. Faculty members may normally serve a maximum of six years.

S T A N D I N G C O M M I T T E E S:

The Executive Committee: The UNIVERSITY ASSEMBLY shall have an Executive Committee consisting of the three officers of the Assembly and four additional Assemblymen elected by the Assembly. The overall membership of the Executive Committee shall be 3 faculty members, 3 students and 1 administrator. The functions of the Executive Committee shall be to set the agenda of the Assembly; to serve as the Committee on Committees; to act for the Assembly between meetings, subject to the approval of the Assembly; and to nominate to the Assembly a committee to carry on the duties of the Assembly during the summer months, subject to the review of the Assembly.

STANDING COMMITTEE:	FUNCTION **	MEMBERSHIP: (*Chairman)	NORMAL ASSIGNMENT OF STAFF TO THESE FUNCTIONS:**
Student Center	# 1	2 F - 7 S* - 3 A (plus 2 alumni)	Student Center Manager
University Facilities	# 2	6 F* - 3 S - 2 A	Provost's designate and VP for Financial Administration's designate
University Libraries	# 3	6 F* - 3 S - 1 A	University Librarian or his designate
Student Activity Fee	# 6	1 F - 5 S* - 3 A	Dean of Students
University Convocations	# 7	4 F* - 4 S - 1 A	Provost or his designate
Communication within and beyond the University	# 8	3 F - 3 S - 1 A*	Director of University Relation's designate
Financial Aid to Students	# 9	5 F* - 3 S - 1 A	Director of Financial Aid
Safety and Security	# 10	4 F* - 4 S - 2 A	Director of Security
Orientation of new Students	# 11	3 F - 4 S* - 2 A	Dean of Students or his designate

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** Each of the functions of the University Assembly include areas to which there normally is assigned one or more administrative staff. Such staff members will be assigned to work with these standing committees, but shall not be the members of the Administration assigned to these committees. The staff member has a dual relationship, for he is accountable to his immediate supervising administrator and also responsible for the implementation of decisions of the standing committee as approved by the Assembly. The evaluation of administration in Academic Governance (see page 19, #6) is also applicable for non-academic administration.

(The following functions will be the responsibility of the ASSEMBLY as a whole, with ad hoc committees appointed as needed: # 4, Establish standards for the recognition and conduct of University groups; # 5, Establish standards for individual conduct; # 12, Consult with the President in the annual review of the Budget; and # 13, Confer with the President on Administrative appointments affecting more than one School.)

D. ADVISORY BOARD TO THE DEAN OF STUDENTS

Functions:

To counsel and advise the Dean of Students as he carries out the responsibilities of his office; to consult with the Dean of Students on that portion of the Budget for which he is responsible.

> The Office of the Dean of Students is administratively responsible for those offices assigned to it by the President. At present these are: Dean of Men, Dean of Women, Student Center Programming, Special Services (Financial Aid, (1) Student Housing Management), Psychological Services, Health Center, Career Counseling, Personal Counseling, Religious Activities, Volunteer Services, the Mustang Band. This Officer is expected to provide leadership for the functions of these offices through their respective directors or deans. In addition, this Officer is responsible for seeing that policies affecting these offices are implemented. This Officer is also responsible to bring to the attention of the appropriate body or person any situation in the informal life of learning which in his judgment is contradictory to the purposes of the University. Finally, the Dean of Students is held responsible for the implementation of rules and regulations established by the University Assembly in accordance with the judicial procedures established by the All-University Judiciary Board.

Membership:

Students:	President of University Men
	President of AWS
	President of IFC
	President of Panhellenic
	President of the Student Center Directorate
	3 additional students elected at large
Faculty:	4 faculty members elected at large

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(1) Only the Office of Financial Aid is related to a policy-making standing committee of the University Assembly.

OPERATIONAL PROCEDURE:

The ADVISORY BOARD to the Dean of Students shall meet regularly with the Dean of Students and/or other appropriate persons designated by the Dean of Students. This BOARD shall determine its own manner of work, and elect its own chairman.

E. THE JUDICIARY SYSTEM

It is recommended that the Board of Trustees, through the President, establish an all-University Judiciary Board. This Board shall have the following responsibilities:

1. To establish a system of judiciary bodies on all levels of the University to hear the cases of all students who are accused of violating the rules and regulations of the University as established by the University Assembly.

2. To establish a system of judiciary bodies to hear cases of violations of the traffic laws of the University.

3. To serve as the final appeal body of the University for all cases heard by the lower judiciary bodies.

4. To establish appropriate procedures for all judiciary bodies to insure fair process for both the student and the University.

The membership of the All-University Judiciary Board shall consist of:

3 Administrators appointed by the President for three-year terms, staggered (these administrators shall not be members of the Student Personnel Staff), and may serve no more than two consecutive terms.

3 faculty members appointed by the University Assembly, for three-year terms, staggered, and may serve no more than two consecutive terms.

5 students appointed by the University Assembly, appointed annually.

The Chairman shall be appointed annually by the University Assembly from among the 3 faculty and 3 administrators on the Judiciary Board.

Until such time as changes are recommended by the All-University Judiciary Board and approved by the President, the present system as stated in the Enchiridion of 1969-70 is operative.

F. THE PUBLISHING BOARD

The Publishing Board shall continue to function as presently constituted with the following changes in determination of its membership:

Faculty: 3 faculty members, nominated by the new elected Faculty Body and appointed by the President, for rotating three-year terms. (A recommendation to the Faculty Body would be that one of these should normally be a member of the Division of Communication Arts, which includes the Department of Journalism.)

Students: 2 students elected at large by the student body

2 students appointed by the new elected student body

Editors, nonvoting. No editor or associate editor of any publication under the jurisdiction of this Board shall be a voting member.

The Board shall elect from its student membership a chairman.

See APPENDIX C, SMU Students' Publishing Company.

VI. - CONSULTATION ON THE SELECTION OF A PRESIDENT OF THE UNIVERSITY

It is recommended to the Board of Trustees that the following groups be asked to name representatives to a University committee which will consult with the Board of Trustees on the selection of a President of the University:

The General Faculty through its elected faculty body

The Student Body through its elected student body

The University Assembly

The Council of Deans

The Administrative Committee

VII. - THE RIGHT AND RESPONSIBILITY TO SPEAK BY RESOLUTION

It is expected that the following groups have the right and responsibility to speak by resolution to any administrative official of the University, or to any official body of the University, and through the President to the Trustees on any issue of general University interest or on any issue of specific concern to the group speaking:

The General Faculty through its elected faculty body

The Student Body through its elected student body

The University Assembly

VIII. - HIGH VISIBILITY OF DECISION-MAKING

We recommend that the Assembly standing committee working with the Office of University Relations establish an all-university publication designed to help provide high visibility of decision-making, for example, through the publication of agenda, minutes, actions, etc. of Advisory Boards, governing bodies and committees.

We also recommend that the Assembly's office shall keep records of the actions of the Assembly and its committees. These records shall be open and easily available. Records of executive sessions are to be clearly identified as such.

IX. - CONSULTATION BY THE PRESIDENT

In the event of an emergency, it is recommended that the President consult with the University Assembly or its executive committee.

Other bodies which the President may call upon for advice when appropriate include the Planning and Priorities Cabinet, the Advisory Boards to the Provost and the Dean of Students, the elected faculty body and the elected student body or their executive committees.

X. - INTERPRETATION OF THE GOVERNANCE PLAN

and

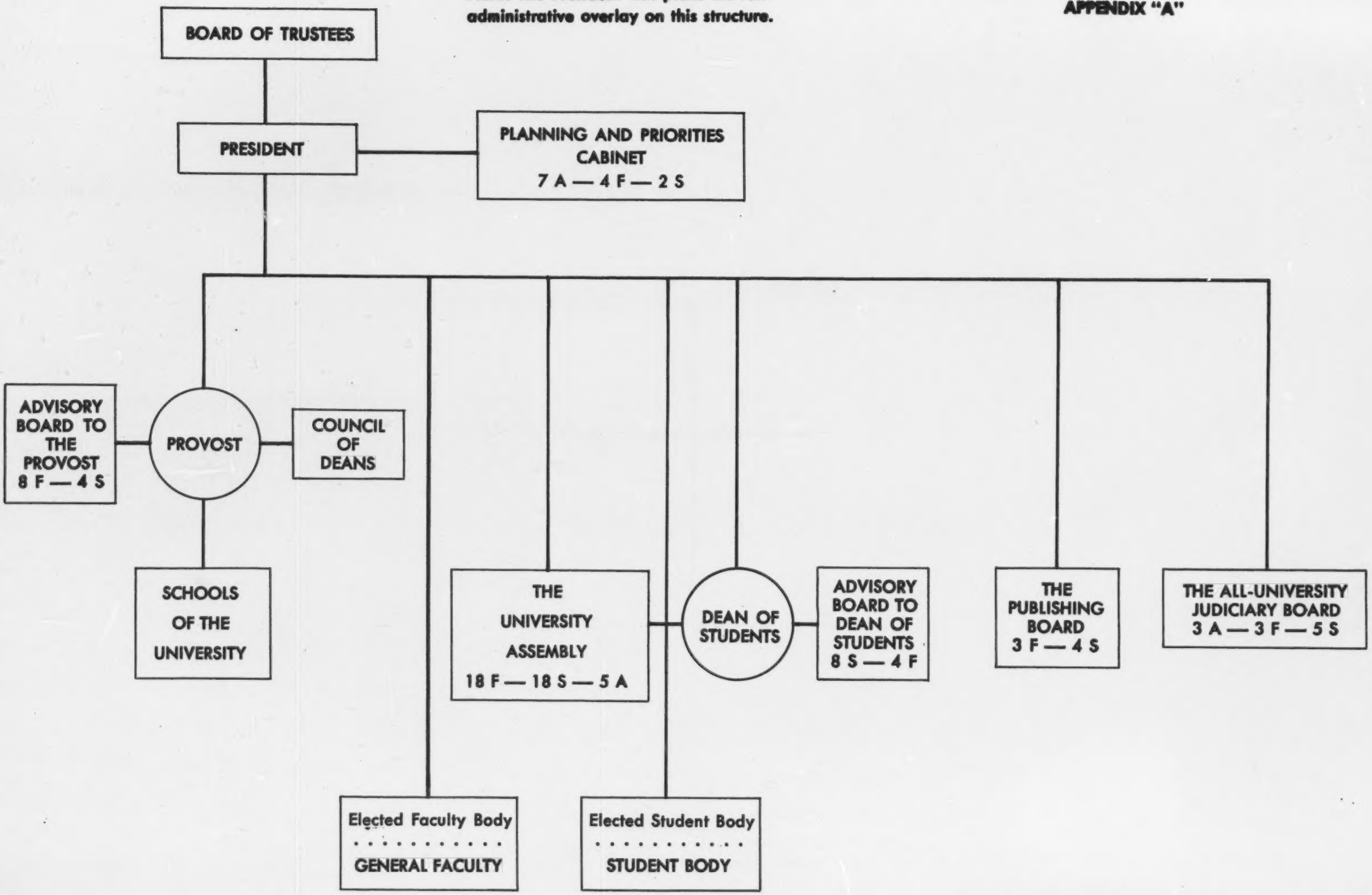
NEW FUNCTIONS NOT NOW INCLUDED IN THE GOVERNANCE PLAN

If questions of interpretation of any part of the Governance Plan arise, they will be settled by an ad hoc committee appointed by the President. The membership of this committee shall include an equal number of faculty, students, and administrators.

After the adoption of this Governance Plan, the President may assign to any group any new functions arising and not now covered in this document.

Note: The President will place his full administrative overlay on this structure.

APPENDIX "A"


BOARD OF TRUSTEES
PRESIDENT
PLANNING AND PRIORITIES CABINET
7 A — 4 F — 2 S
ADVISORY BOARD TO THE PROVOST
8 F — 4 S
PROVOST
COUNCIL OF DEANS
SCHOOLS OF THE UNIVERSITY
THE UNIVERSITY ASSEMBLY
18 F — 18 S — 5 A
DEAN OF STUDENTS
ADVISORY BOARD TO DEAN OF STUDENTS
8 S — 4 F
THE PUBLISHING BOARD
3 F — 4 S
THE ALL-UNIVERSITY JUDICIARY BOARD
3 A — 3 F — 5 S
Elected Faculty Body
GENERAL FACULTY
Elected Student Body
STUDENT BODY

APPENDIX B

TARGET CALENDAR

Month of September, 1970: There shall be a meeting of the full-time faculty of each School to elect a constitutional committee.(1)

April 1, 1971: A proposed final draft of the constitution and by-laws for each School should be ready for consideration by the Provost and his Advisory Board by this date.(2)

October 12, 1970: All elected members to the following bodies shall take office by October 12, 1970:

The Planning and Priorities Cabinet

The Advisory Board to the Provost

The University Assembly

The Advisory Board to the Dean of Students

The elected faculty body

The elected student body

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(1) See page 5, the Governance of the Schools

(2) See page 6, the Governance of the Schools

APPENDIX C

THE SMU STUDENTS' PUBLISHING COMPANY

Since 1930 the SMU Publishing Company has existed as a private corporation under the laws of the State of Texas, through Charter No. 56866 (April 28, 1930). Its original purpose was the publication and sale of the Campus and Rotunda; since that time it has added the Student Directory, Espejo, Insite and KSMU.

The President will ask the new Publishing Board to make a complete review of the responsibilities, policies, functions and administration of the SMU Students' Publishing Company immediately following the election of the new Publishing Board in the fall of 1970.

APPENDIX D

THE EXECUTIVE COMMITTEE'S WAY OF WORK

The Executive Committee of the Governance Study established the following rules governing its own decision-making:

1) Eight out of eleven members were required for a quorum.

2) Seven affirmative votes were required for any motion to pass.

The Executive Committee will submit one final report to the President. This report will represent the formal affirmative action of the Committee. Any member of the Committee has the privilege of sending to the President a dissenting letter on any part of the Committee's report or the report as a whole.

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MEMBERS OF THE EXECUTIVE COMMITTEE

Appointed by the President:

James E. Brooks, Associate Provost and Professor of Geology

Irving A. Baker, Assistant to the President, Associate Professor of Political Science, Director of the Afro-American Studies Program

Joe A. Howell, Dean of Students, Assistant Professor of Education

Elected by the Faculty Senate:

George W. Crawford, Professor of Physics (Chairman, selected by the President)

Laurence Perrine, A. E. Lilly Professor of English

Donald F. Jackson, Assistant Professor of Finance

H. Grady Hardin, Professor of Worship and Preaching

Elected by the Student Senate:

Mike Hazel, senior, School of Humanities and Sciences (Vice Chairman)

Joe Herkert, senior, Institute of Technology

Jack Grieder, junior, School of Humanities and Sciences

Elmer Murphey, third year, School of Law

Executive Director:

Mrs. Johnnie Marie Grimes, Assistant to the President for Research and Planning

APPENDIX E

The Role of the Student in Academic Governance of the University

The Role of the Faculty in the Governance of the Modern University

(Two papers written by two members of the Executive Committee; included in this report without prejudice.)

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The Role of the Student in the Academic Governance of the University

Because he is now considered a vital part of the academic governance of the University, the student must realize the dual nature of the responsibilities entrusted with him. Not only must the student grow intellectually, but he must also question the programs within which he is studying and offer innovative ideas for the development of new programs and priorities. Foremost in the mind of the student must be the question: How can this university be directed and reformed to serve best the educational needs of all of its members? Because all institutions have a notorious reputation for rigidity and ossification, it is the personal responsibility of each student to insure that he does not permit himself to be locked into an unsatisfying and irrelevant course of study. This university must be totally committed to a continual process of evaluation and change. Along with faculty members and academic administrators, it is the responsibility of the student to insure the continuation of this dynamic process.

How, then, can the creative potential of student concerns and ideas significantly influence and foster the development of this dynamic process? It is quite obvious that the solution does not lie in placing vast numbers of students within a time consuming and ineffective bureaucracy. The student must place himself in a position where he can think independently and creatively. The best solution seems to be the recognition of student input at all levels of policy and program formulation. However, student input must become something more than symbolic or token in nature. In addition to having recognized access to all levels of such decision making, there must also be concrete and positive recognition. For example,

such academic bodies as the H & S Planning Board and such program formulating bodies as subject area curriculum committees must have voting student membership. The next, and most critical, step in the restructuring of this university is the evaluation and reform commissioned by this Executive Committee to occur in the Schools of the university next year. This is where the real educational reforms and innovations must occur. The program broadly outlined by this Committee for next year must be influenced strongly by student ideas. For the first time the student can assert his position as a significant member of the academic community and help to determine the direction and the impact of its educational programs.

A paper requested by the Executive Committee of the Governance Study, written by Jack Grieder, student; submitted with the Governance Report without prejudice.

The Role of the Faculty in the Governance of the Modern University

Each faculty member is called upon to play a number of different roles in the complex life of the modern university. The most important of these can be listed as follows: 1) Teacher - in both formal and informal learning situations; 2) Scholar - both with his students in shared creative activity and alone; 3) Member of the SMU community; 4) Member of the governing structure of the university.

The primary role of the faculty member is and must remain the dual one of teacher-scholar. His many duties, responsibilities and activities must enhance the achievement of this primary role.

Teacher: As a teacher, he is most effective when his students participate with him in the full life of learning, but he remains the principal person responsible for the conduct of planned instruction - in the classroom, in the laboratory and in other activities bearing on the learning process. Both the teacher and his students must work steadily to improve the methods of communication used in the teaching-learning process, to translate the teacher-student relationship into a dynamic partnership for the intellectual growth of both.

The faculty guidance and counseling of students, together with informal learning sessions and shared experiences provide additional opportunities for the teacher and student to develop a deeper understanding of life. The off-campus activities of the teacher play a direct role in both the quality and the relevance of the informal teaching.

As a member of the faculty of his school, he has a unique role in establishing the requirements for a degree and in certifying that these requirements have been met. The FACULTY is the group with the collective training, experience, and knowledge requisite to establish degree programs and to certify that individual students have reached a level of proficiency and knowledge justifying the granting of a degree. Neither administrators nor students should pre-empt the responsibilities of the faculty for making academic policy and program.

Scholar: As a scholar, he is a contributor to his discipline through creative writings, research, and personal intellectual growth. While

often carried out as an individual effort, the scholarly endeavor is usually performed with graduate students as a shared effort for the benefit of both.

An important part of the life of the scholar is participation in professional meetings and organizations. This participation in the professional life of his discipline is made by publications, attendance, and presentation of papers at meetings, and by service in leadership positions in the organizations.

Member of the SMU community: Each faculty member should play a vigorous and responsible role in the total life of the community. In the area of academic life, he must play the dominant role. In the area of informal learning his role is that of a responsible citizen. When he is elected or appointed to a governance body, his faithful attendance and participation serves both to find a wise solution to the problem at issue and to show by example the meaning of responsible democratic procedure. These activities are an important and necessary part of the duties of the faculty and should be rewarded on the same level as are the teaching and scholarly activities.

Member of the Governing Structure: In the administration of SMU, a faculty member may play a role ranging from specific full-time duties as President, Provost or Dean; part-time duties as chairman of a department, head of a center, director of a research contract; to elective assignment as a member of a governance body or appointment on an ad hoc committee.

A paper requested by the Executive Committee of the Governance Study, written by Professor George Crawford, submitted with the Governance Report without prejudice.

ACTION TAKEN BY THE BOARD OF TRUSTEES, MAY 8, 1970: APPENDIX F

MSP, that the President's recommendations(below) be approved and adopted, subject to the following conditions:(1)

I RECOMMEND -

THAT the proposed GOVERNANCE PLAN herein attached be approved as a working agreement between the Board of Trustees and the groups within the University to whom responsibilities are given in this PLAN;

THAT a committee from the Board of Trustees be appointed to study this proposed PLAN and bring back to the Board of Trustees recommendations relating to any changes in the BY-LAWS of the University;

THAT during the School Year 1972 - 1973 an evaluation process be set in motion, this date subject to review by the President and the University Assembly;

THAT the Board of Trustees express to the Faculty, the Students, and the Administration its profound hope that this experience in shared governance be given the fullest cooperation and the most honest testing; and where this PLAN may be found to be inadequate, all segments of the University will work together to discover a better way of governing SMU.

Willis M. Tate

WILLIS M. TATE
President

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(1) The President's definition of "consultation" be inserted on page 17, deleting the definition in the present footnote.

This document does not change the BY-LAWS, but is a working agreement.

A Trustee Committee will report at the November 1970 Board meeting regarding any BY-LAWS changes.